And Never the Twain Shall Meet? Institutional Open Access Policies (IOAPs) and Review, Promotion, and Tenure (RPT)

Amanda Y. Makula

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Amanda Y. Makula
University of San Diego

ABSTRACT

Introduction: Institutional open access policies (IOAPs) express an institutional commitment to making scholarly knowledge openly accessible, typically by asking academics to deposit their scholarship into an open access (OA) repository. Faculty, however, must prioritize other scholarly requirements, such as those specified in review, promotion, and tenure (RPT) processes and policies. If IOAPs are ignored or in conflict with RPT, they will not be as effective as possible.

Literature Review: Despite the fact that many higher education institutions say they value scholarly research contributing to the public good, they often do not articulate that OA is a necessary component to achieve this goal. Parallelly, increasing numbers of higher education institutions have adopted an IOAP, but few of them include the policy in RPT policies.

Methods: An electronic survey was disseminated to members of the Coalition of Open Access Policy Institutions (COAPI) in order to quantify how many include the concept of OA and/or their IOAP in their RPT mechanisms.

Results: Only four out of 28 respondents indicated that the concept of OA is integrated into RPT at their institution, and only one out of 28 reported that the IOAP is present in RPT.

Discussion: Consistent with sparse examples in the literature, this study suggests that most IOAPs exist in separation from RPT, and this separation threatens the success of IOAPs.

Conclusion: Faculty prioritize RPT guidelines in order to advance their careers, but these policies rarely address OA and IOAPs. More attention to the relationship between IOAPs and RPT is necessary in order to discover how they can complement one another and enhance scholarly knowledge production and exchange.

Keywords: open access, institutional open access policies (IOAPs), review, promotion, tenure, Coalition of Open Access Policy Institutions (COAPI)

IMPLICATIONS FOR PRACTICE

1. Institutional open access policies (IOAPs) are not powerful enough on their own to motivate academics to make their scholarship openly available.

2. Open access (OA) can help fulfill an institution's mission to contribute to the public good by facilitating the creation and exchange of knowledge.

3. Connecting IOAPs to other institutional values and priorities, and especially to the review, promotion, and tenure (RPT) system by which faculty must prove their contributions, is a potential way to lend them authority and increase their effectiveness.

4. Libraries help enact IOAPs by providing repository infrastructure and services; if IOAPs are joined to RPT, deposit rates may increase and require greater involvement from the library.

5. Institutions, though few, that have connected OA and IOAPs to RPT can serve as examples for others that would like to follow suit.

INTRODUCTION

With its aim to make research freely available to the global community, the concept of open access (OA) has gained significant prominence in the realm of scholarly publishing. In higher education institutions, the adoption of institutional open access policies (IOAPs) has allowed colleges and universities to demonstrate their commitment to advancing principles of accessibility, collaboration, and knowledge dissemination. IOAPs generally work by having the institution's faculty authors preemptively grant to the institution specific non-exclusive rights to their work, thus enabling the institution to make the scholarship openly and publicly available online, typically through the institution's OA digital repository. While individual policies vary by their verbiage and specific terms (required vs. voluntary; the ability to opt out; authors' rights retention; the timing of deposit; etc.), as well as their targeted demographic and compliance rate, they hold in common the value they place on OA and the goal of capturing and making openly accessible the entire body of scholarship produced at the institution (Mering, 2020). IOAPs can help motivate faculty and researchers to deposit their work, which in turn will increase the corpus of openly available scholarship and, by extension, accelerate scientific progress.

At the same time, however, there is a significant obstacle to the success of IOAPs. The policies compete for faculty and researchers' time and attention with other, more pressing demands, especially the review, promotion, and tenure (RPT) process by which academics seek to prove the value of their pedagogical, scholarly, and service contributions to their institution and to their field. The culture of academia is such that faculty (particularly untenured faculty) at most

higher education institutions must produce published scholarship and show evidence of its impact in order to receive recognition for their work, move through the ranks, and achieve reappointment, promotion, and (ultimately) tenure (Alperin et al., 2019). Publishing scholarly work is a key component of moving through this system successfully, and there is nothing less at stake than the future of one's career (Makula, 2022)—"Publish or perish," as the adage goes. Thus, the priority of the majority of faculty members, regardless of institutional affiliation, is to publish work that will be recognized and rewarded by the RPT system in which they must operate (Niles et al., 2020). Indeed, the most recent Ithaka S+R US Faculty Survey (2021) found that, while many faculty "are generally in favor of open access publication […], traditional incentives for tenure and promotion guide their publication decisions" (Blankstein, 2022, p. 36). Because RPT policies and processes dictate how their work will be evaluated, tenure-track faculty typically pay close attention to and follow its directives, as it is essentially a blueprint for how they can achieve success. Perhaps unsurprisingly, non-tenure-track faculty, i.e., contingent faculty, place greater importance on a journal's open access availability than do their tenure-track colleagues when making publication decisions (Blankstein, 2022).

With this in mind, it is important to ask whether or not mention of OA and IOAPs are present in RPT documents. As Soper (2017) points out, if the two are not connected in some way, RPT policies can threaten the success of IOAPs, especially "In the United States, where institutional OA policies typically have no compliance mechanisms and are not linked to the research evaluation process […], merely adopting a policy is unlikely to dramatically increase article deposit rates, as faculty have little more incentive to comply than authors at schools without policies" (p. 435). Xia et al. (2012), Zhang et al. (2015), and Mering (2020) come to the same conclusion. It is not the mere existence of an IOAP that determines whether or not faculty at a particular institution will make their work openly available. Rather, there need to be clearly articulated benefits and incentives to spur participation. One way to do this is to put "institutional policies […] in place that require article deposit for promotion and tenure review" (Zhang et al., 2015, p. 15), essentially "linking faculty evaluations and promotion to OA policy" (Mering, 2020, p. 158). Doing so gives "teeth" to IOAPs. Xia et al. (2012) succinctly summarize the issues:

> Faculty members do not see the benefit of [OA] reflected in the tenure process, so they fail to deposit items into the repository. Without changes to the academic system of tenure, faculty will continue to overlook the importance of [OA] deposits to institutions. Including language reflecting the importance of repository deposits to faculty evaluation (especially during the tenure process) would eliminate this oversight. (p. 98)

While numerous articles have investigated rates of and/or rationales for compliance (or non-compliance) with IOAPs (Azadbakht et al., 2023; Fruin and Sutton, 2016; Harnad, 2015;

Herrmannova, 2019; Huang et al., 2020; Swan et al., 2015; Vincent-Lamarre et al., 2016), there is scant literature exploring whether and to what extent IOAPs are integrated into RPT, that nucleus of academic currency and prestige. This study examines the presence of IOAPs in RPT within the Coalition of Open Access Policy Institutions (COAPI) collective in order to provide insight into whether and how institutions are connecting their IOAPs with their RPT guidelines. It asks these questions: Are there examples of IOAPs that are integrated into RPT? If so, what do they look like? Or do IOAPs primarily exist in isolation from other codified faculty expectations and reward/recognition mechanisms? Currently, IOAPs do not carry the same weight that RPT does, in that they do not have a direct correlation to one's professional advancement. But is this changeable? *Could* they, one day?

LITERATURE REVIEW

OA policies or mandates are a relatively recent phenomenon. In 2002, the Budapest Open Access Initiative (BOAI) signified a seminal moment in the call for unrestricted access to scholarly literature. The *Declaration* that resulted from this international gathering of academics argued for the use of OA journals and OA repositories so that scholars could publish and archive their work in such a way that it could be freely accessed by readers worldwide. It also encouraged universities, research institutions, and funding agencies to adopt measures to promote OA, thus sowing the foundational seeds for the formulation of IOAPs (BOAI, 2022).

On the heels of the BOAI, the early years of the twenty-first century saw the development of government or funder mandates, e.g., requiring federal grant recipients to deposit their research in an open repository. Other policies or mandates, many of them originating in Western Europe but also throughout the Global South, were institutional in nature, i.e., adopted by a university and applicable to its academic employees (faculty, researchers, etc.) (Xia et al., 2012). In the United States, 2008 was a critical year for OA. Both an OA funder mandate (the Consolidated Appropriations Act, requiring research funded by the National Institutes of Health to be made publicly available in the PubMed Center repository) and the first U.S. OA policy (passed by Harvard University's Faculty of Arts and Sciences) put a spotlight on the growing momentum of OA and how integral it was to the future of scholarly research and academia (Xia et al., 2012). Under the Harvard Open Access Policy, faculty members grant the university a nonexclusive license to distribute their scholarly articles and to deposit copies of them into Harvard's institutional repository (IR), DASH: Digital Access to Scholarship at Harvard (Harvard Library Office for Scholarly Communication, n.d.).[1] The adoption of the Harvard Open Access Policy by its

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[1] Institutional repositories (IRs) are digital platforms or databases where institutions, such as universities or research organizations, store and provide access (typically OA) to their scholarly outputs, including research articles, theses, dissertations, conference papers, and more. IRs and IOAPs work in tandem, as the former provides the infrastructure for the manifestation of the latter.

faculty received widespread attention and demonstrated that the faculty at a prestigious institution like Harvard was committed to embracing openness and accessibility in scholarly communication. The policy was a catalyst encouraging other institutions to consider similar policies; in fact, as Xia et al. (2012) point out, following Harvard's bold decision, "the number of [IRs] with a mandate policy jumped from roughly twenty worldwide to more than eight times that number" (p. 90). And Harvard's legacy continues to date, in part by making available a "model policy" and a "good-practices guide" which other institutions can use to help develop and implement their own IOAPs (Shieber, 2015; Suber and Shieber, 2023).

Today, COAPI counts over 120 North American higher education institutions as its members, approximately 100 of which have already adopted an OA policy and are thus considered "full" members whose representatives may serve on COAPI committees, working groups, and in leadership capacities (SPARC, n.d., *Members*). (The remaining member institutions, classified as "affiliate members," have not yet adopted a policy but are interested in or working toward doing so. According to the COAPI Process and Procedure Document [2018], once an affiliate member passes an OA Policy, they become a full member of the organization.) Meanwhile, the Registry of Open Access Repository Mandates and Policies (ROARMAP) lists 880 universities or research institutions across the world that have adopted some form of an OA policy, and 82 sub-units (such as a department or school) within a larger institution that have done so. Moreover, IOAPs far outnumber funder mandates; currently there are over ten times as many IOAPs as funder mandates (ROARMAP, n.d.).

Merely adopting an IOAP, however, is insufficient. Rather, there must be consistent publicity, educational outreach, and participation incentives to encourage compliance. Faculty must know about the policy, understand it, and see its value for themselves and their institutions (Mering, 2020). In a case study of Florida State University, Soper (2017) details a long, consistent effort to develop and enact an IOAP, from mobilizing support among faculty and librarians, to building momentum through outreach, to finally achieving adoption, implementation, and compliance. The success of an IOAP depends in large part on the ongoing work that takes place *after* its adoption.

Some universities and scholars have sought to measure participation or compliance with IOAPs through methods such as self-reporting (asking or requiring researchers to indicate whether they have made their research outputs openly accessible), repository monitoring (tracking the deposition of research outputs in the IR), publication analysis (examining publishing venues of researchers' works to determine whether they are OA journals or repositories), and audits and reviews (cross-checking repository records, publisher websites, or other sources to verify compliance) (Picarra, 2015). Azadbakht et al. (2023), through an exhaustive search of the research literature surrounding OA mandates and policies, makes the case that there is no clear causative

correlation between their adoption and a statistically significant increase in the availability of OA literature. Rather, because there is much variation in the policies themselves, as well as in how compliance is measured, it is difficult to pinpoint whether they advance OA on a broad level. On the other hand, in their study "Estimating Open Access Mandate Effectiveness: The MELIBEA Score," Vincent-Lamarre et al. (2016) discovered a "small but significant positive correlation (0.18)" between the "strength" of an institution's OA mandate and the percentage of its faculty's scholarly articles (as indexed in Web of Science) that were made openly available in the IR (p. 2815). What, then, is a "strong" IOAP? The authors identify three factors, one of which is a stipulation that IR deposit is mandatory for purposes of internal performance evaluation, "on which a researcher's rank and salary often depend" (p. 2822). Thus, here we see a clear case for tying IOAPs to RPT, as one important way "in generating greater author compliance and hence more deposits and more OA, sooner" (p. 2827).

This article focuses on the ways in which RPT is connected with—or rather, disconnected from—OA and IOAPs. As Wical and Kocken (2017) explain, OA has historically been misunderstood and even viewed suspiciously within the context of RPT. Faculty worry that RPT committees will equate OA journals with predatory publishing practices or assume that OA articles have not undergone peer review. The verbiage of RPT policies may be unclear or inaccurate in regard to OA, and there can be a gulf of misunderstanding between those who originally penned an evaluative rubric and those seeking to interpret its terms as they prepare their documents for review. Moreover, the emphasis in many RPT policies and practices on things like journal impact and prestige—whether officially codified or tacitly implied—make some faculty hesitant to pursue OA for their work, as they may (justifiably) worry that RPT committees might value a journal's reputation over other opportunities afforded by OA, such as greater visibility, higher citation rates, application by practitioners, and broad societal impact for the public good; or that somehow OA necessarily means low quality, non-peer-reviewed, and/or non-prestigious. In order for faculty moving through RPT to prioritize OA, their institution must clearly articulate that OA is valued, recognized, and rewarded. Otherwise, as Niles et al. (2020) show in their study of values and motivations that guide faculty's publishing choices, faculty tend to assume that review committees place greater emphasis on other factors such as traditional journal metrics and prestige. This perception may not be accurate, but it is nonetheless powerful, and it greatly influences faculty publishing behaviors. In essence, perception becomes reality. Therefore, if OA is valued by an institution but not explicitly addressed in a positive way in RPT policies, "reexamining or updating the promotion and tenure process may be in order [especially] if the institution has made a commitment to support OA by adopting an OA mandate or other measure" (Wical and Kocken, 2017, p. 112).

At the same time, more and more universities are articulating and formalizing commitments to advancing the public good. Yet often these same institutions do not articulate a connection

between such commitments and the potential of OA to spread scientific progress far and wide in order to spark positive social change. This—as Fister (2013) pointed out over a decade ago—is a missed opportunity under the current tenure model: "We should make our scholarship public because research is done for the greater good" (para. 13). By recognizing and rewarding faculty who make their work openly available, universities can demonstrate that they aspire to reach, engage, and transform the public community. In their detailed study of 129 U.S. and Canadian higher education institutions and their documents outlining RPT requirements, Alperin et al. (2019) found that although terms such as *public, community, public engagement,* and/or *community engagement* featured frequently in the documents, they were more often used in association with service responsibilities of faculty members, not research or scholarship priorities. Moreover, in regard to scholarly activity, the concept of "traditional output" occurred in over 90 percent of the documents, but the term *open access* appeared in only five percent. Most striking of all, those few mentions were either negative and cautionary—operating on the assumption that OA inherently means predatory or non-peer-reviewed—or merely neutral. Thus, faculty are receiving the message that not only is OA not valued or rewarded by RPT, it is either ignored or actively discouraged. This counters the directive of an IOAP.

But all is not lost. There are a few universities that have positively incorporated mention of OA and/or their IOAP into RPT policies. One of the earliest examples comes from the University of Liège, who mandated that all candidates for promotion deposit their scholarship into *ORBi*, the institution's repository—an action that resulted in a dramatic increase in IR deposits (Rentier and Thirion, 2011). In 2009, MIT adopted an IOAP, and a decade later, released an OA Task Force report calling for attention "to align promotion and tenure incentives with incentives for openness" (including establishing the expectation that faculty deposit their scholarship into the IR in order for reviewers to access and evaluate it) as well as rewarding OA sharing via RPT mechanisms (MIT, 2019).

Odell et al. (2016) report that, in 2015, Indiana University-Purdue University Indianapolis (IUPUI) incorporated a statement into its "Chief Academic Officer's Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers 2016–2017" emphasizing how it values wide, openly accessible dissemination of scholarship and identifying eight institutional values—among them, Civic Engagement; Diversity, Equity, and Inclusion; and International Work and Publication—that OA directly supports (p. 322). In addition to upholding OA as an institutional value, IUPUI's RPT statement *specifically* mentions the university's IOAP by name, saying that it "provides a no-cost, opt-out approach to increase access to scholarly articles authored by campus faculty members" (p. 322).

Another example of an institution with an RPT policy connected to its IOAP comes from the University of Maryland's (UMD's) Department of Psychology, which in 2022 unanimously

approved a revision to their tenure/tenure track promotion policies that specifies that one component of candidates' evaluation is whether they demonstrate a "commitment to providing equitable access to scholarly articles through OA publication […] in accordance with UMD's Equitable Access policy" (University of Maryland, 2022).

Beyond these few examples, there may be additional institutions that have connected or are working toward connecting their IOAP and RPT systems but without published articles sharing this information. This study sought to gauge the current relationship between IOAPs and RPT by surveying a particular set of institutions known as COAPI.

METHODS

Under the umbrella of the Scholarly Publishing and Academic Resources Coalition (SPARC), COAPI is an informal organization founded in 2011 "to exchange information and best practices around the development, implementation, and assessment of OA policies, and to advocate for practices that assist in the ongoing transformation of the scholarly communication system" (SPARC, n.d., *About COAPI*). Both full and affiliate members benefit from the organization's OA policy resource toolkit, the opportunity to correspond and collaborate with other members via an internal listserv and regular community calls, the efforts of various working groups, and from COAPI's ongoing advocacy for OA through public statements and petitions to governmental, political, and academic leadership.

A 13-question electronic survey instrument created with Qualtrics software and approved by the researcher's institutional review board was disseminated to all full and affiliate members of COAPI as listed on the Member page at https://coapi.sparcopen.org/members. (See Appendix for the survey instrument.) COAPI members were selected as the survey population for this study because, by definition, they are at the forefront of advocating for and adopting IOAPs. In fact, the majority of COAPI members already have an IOAP in place. Survey dissemination occurred via two routes: an email from the researcher to all members' email addresses, as listed at https://coapi.sparcopen.org/members; and a posting on the COAPI member listserv (sparc-coapi@sparcopen.org) inviting survey participation. Both methods resulted in a number of bounce-back undeliverable messages due to defunct email addresses as a result of retirements, job changes, etc.

The survey was open from January 24 through March 26, 2023. The first part of the survey asked preliminary questions about whether respondents' institutions had adopted an IOAP, and if so, how long it had been in effect, to whom it applied, and the rate of participation or compliance with the policy. Next, the survey asked about RPT processes and policies in use at their institution and whether or not the term/concept *open access* and/or the IOAP is mentioned or incorporated into RPT.

RESULTS

Thirty-one respondents began the survey and signaled their consent to participate, representing an approximately 25% response rate. When asked to identify their institutional Carnegie Classification, 24 respondents selected *Doctoral University*, four chose *Doctoral/Professional University*, one chose *Master's College or University*, and one chose *Baccalaureate College*.

The survey first sought to establish whether respondents' institutions had adopted an IOAP. Out of 29 responses to this question, 23 reported that "yes: we have an institutional-wide OA policy," while four answered "yes: one or more of the schools/colleges/units within our institution has their own OA policy, but we do not have an institutional-wide OA policy." Two respondents answered "no."[2]
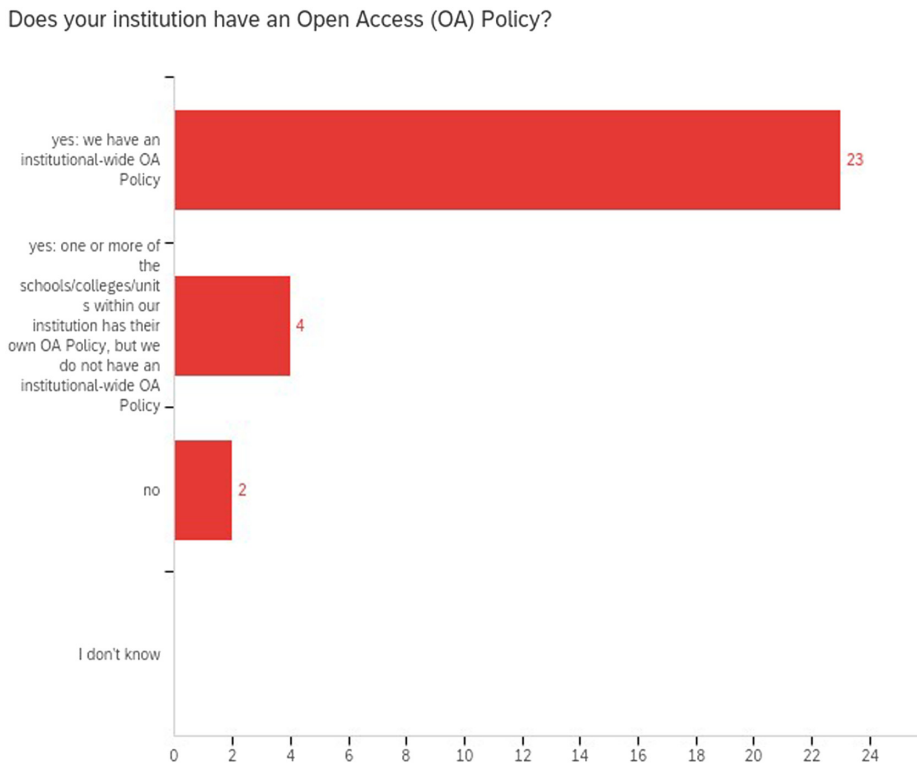
Does your institution have an Open Access (OA) Policy?

Figure 1. Respondents Indicate Whether Their Institution Has an OA Policy

Of the 27 respondents whose institution has an OA policy (whether institution wide or specific to a school/college/unit), they were asked how long it has been in effect. Twelve answered

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[2] Of the two respondents who said their institution does not have an OA policy, both reported that the term/concept of OA is not mentioned or incorporated into any RPT processes or policies in use at their institution.

10+ years, followed by five who said 8–9 years, four said 4–5 years, four said 2–3 years, and one indicated they did not know, for a total of 26 responses.

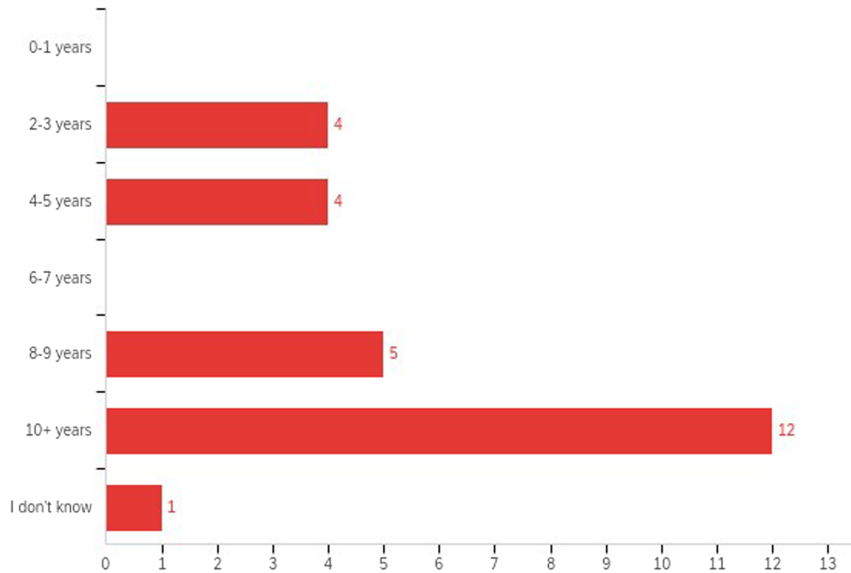For how long has the OA Policy been in effect?

Figure 2. Length of Time that OA Policies Have Been in Effect

Respondents were then asked, "To whom does the OA policy apply?" and were instructed to select all that apply among Faculty, Staff, Students, and Other. Twenty-six indicated that their policy applies to Faculty, eight to Staff, five to Students, and two to Other.

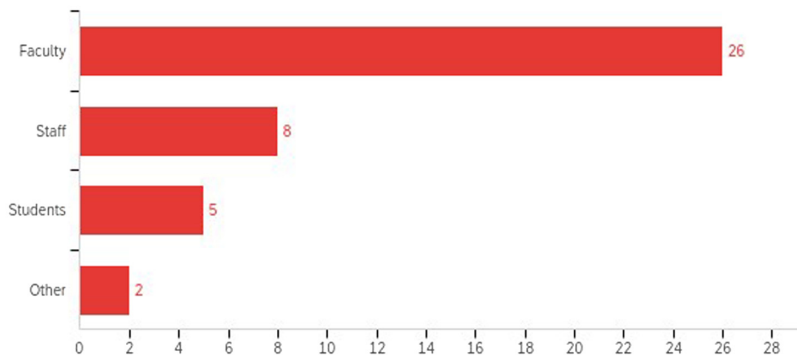To whom does the OA Policy apply? (Select all that apply)

Figure 3. Groups Accountable to the OA Policy

The next two questions prompted many respondents (14/26) to indicate that they did not know what percentage of potential depositors participate in the OA policy; nor do many (10/26) know the rate of article deposit (the number of articles deposited/total number of articles published) in their IR.
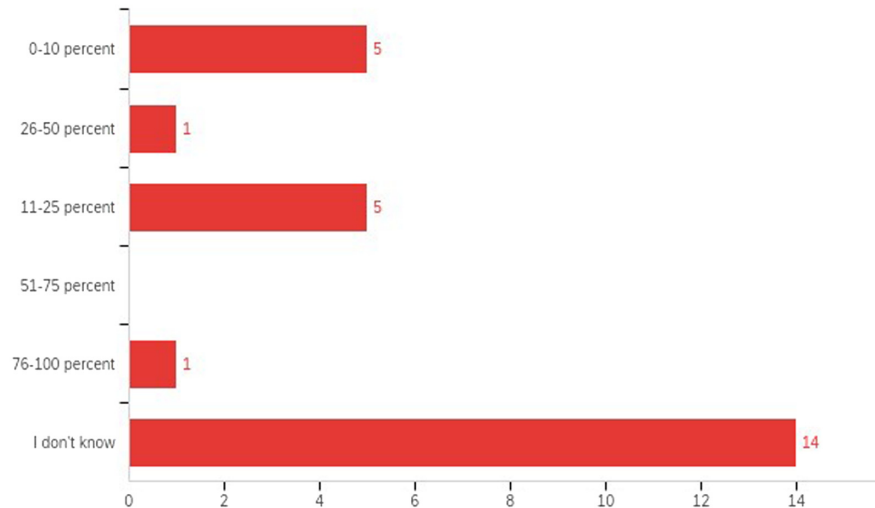
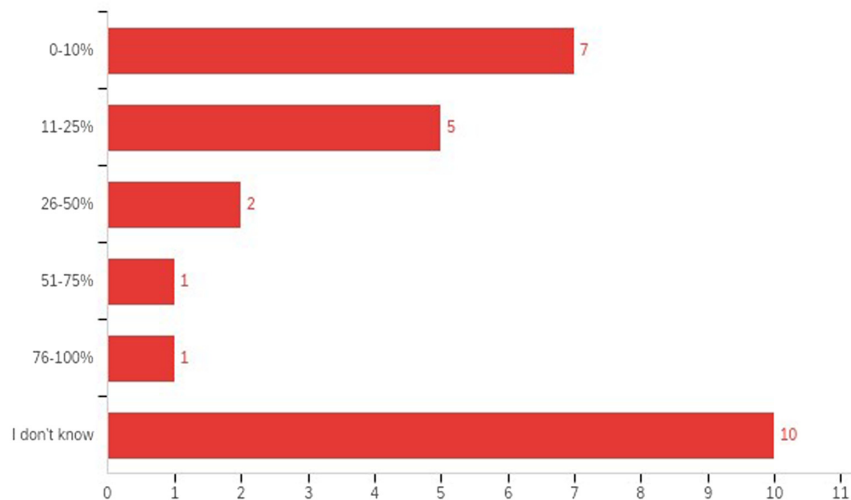**Figure 4.** Rate of Depositor Participation With the OA Policy

Figure 5. Rate of Article Deposit Into the Institutional Repository

The final quantitative question asked, of those whose institutions do have an OA policy, "Is the term/concept of OA and/or the OA policy mentioned or incorporated into any RPT processes or policies in use at your institution? (Select all that apply)." Seventeen out of 28 answered, "No, neither," followed by six who did not know, four who said "Yes; the term/concept of OA is mentioned or incorporated into RPT processes or documents," and only one who said, "Yes; the OA policy specifically is mentioned or incorporated into RPT processes or documents."
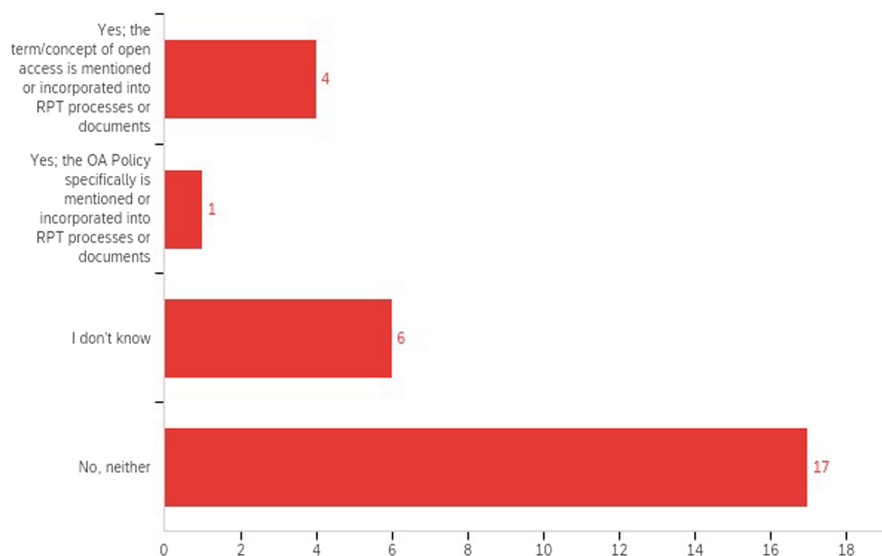
Figure 6. OA and OA Policy Representation in RPT Processes or Policies

Finally, respondents who reported that the concept of OA is represented in RPT at their institution were given the opportunity to include the verbiage that is used. Four respondents answered:

- *It's encouraged as part of a section on public scholarship*
- *As one way to demonstrate reach of and audience for scholarship*
- *I cannot speak to the T&P criteria documents in other schools and departments at this university. However, I was responsible for adding language about [OA] publishing to [specific department]*

- *This varies between departments and not all include it. Sometimes the mention is positive, and sometimes it is negative or cautionary.*

The sole respondent who indicated that their IOAP is represented in RPT contributed this information:

- *Again this varies between departments and not all include it, but in some cases departments have indicated that in order for research outputs to be considered as part of RPT processes, they must be made available OA in accordance with our OA policy*

At the close of the survey, respondents were given the opportunity to provide any additional information about how their institution addresses the relationship between OA and RPT, and one respondent wrote

- *Here's the [OA] language in our Criteria for Library Faculty Personnel Actions: "Publishing in open access venues is also encouraged and valued, but not required for tenure or promotion at any rank."*

DISCUSSION

Survey respondents overwhelmingly indicated that their institution has an IOAP in place[3] (23/29, or 79%), and for over half (17/26, or 65%), that policy has existed for 8+ years. While some IOAPs apply to students, staff, or other institutional members, faculty are the primary demographic. Less is known about the rate of potential depositors who participate in the IOAP and the rate of article deposit into the IR, as many respondents admitted they do not know these numbers.

Turning to the relationship between IOAPs and RPT, only 14% (4/28) of respondents indicated that the term/concept of OA is mentioned or incorporated into RPT processes or documents at their institution, and even fewer—less than 4% (1/28)—reported that the IOAP is present in RPT. This finding is consistent with the dearth of examples in the literature of institutions that have connected their IOAP with RPT in some way. So, too, are the qualitative comments that some respondents provided. The person who wrote (in regard to mention of OA in RPT): "Sometimes the mention is positive, and sometimes it is negative or cautionary"

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[3] This is unsurprising, given that COAPI is explicitly a mailing list for those with OA policies in place, or working toward such a policy.

provides support for the finding by Alperin et al. (2019) that OA is not necessarily viewed positively within the context of RPT and may in fact be discouraged.

This study seeks to prompt a broader conversation about the relationship (or lack thereof) between IOAPs—formal commitments adopted to assert and exercise faculty authors' rights, and to provide a pathway for openly sharing scholarship—and the quintessential mechanism of recognition and reward within academia, RPT. However, there are limitations to this study, namely due to its low response rate and limited qualitative data. Future research would benefit greatly from a larger sample size (perhaps by incentivizing participation and/or going beyond COAPI to include other organizations), as well as conducting follow-up interviews or focus groups with respondents from a variety of institutions, with differing levels of IOAP engagement and rates of repository deposits. More research is also needed into how IOAPs—regardless of whether they are connected to RPT—are integrated into institutional culture, or why they are relegated to the sidelines. For example, one pressing research question for a future study to explore is this: If an institution has an IOAP, how do its faculty first learn about it, or do they even know about it at all? In fact, a 2010 study by Creaser showed that in the UK "almost three-quarters of researchers did not know whether their institution had a written policy on [OA] to research outputs" (p. 8), and even if there was awareness, there was uncertainty about policies' terms and permissions. If low engagement with an IOAP is partly due to the fact that many faculty simply do not know that it exists, embedding it within RPT serves as an awareness mechanism. Seeing it referenced in RPT may be the first time that faculty learn of the IOAP's existence. This is perhaps the most compelling reason to connect the IOAP with RPT—not to push compliance, but to make faculty aware of the existence of the IOAP and to communicate to faculty that the institution values the open sharing of knowledge. In this way, incorporating the IOAP into RPT is not a mandate, a punitive measure, or a hurdle for faculty to overcome, but rather it acts as a strategic mechanism for faculty to encounter the IOAP and to contemplate whether and how they want to engage with it. When they learn that their institution has an IOAP in place, faculty discover that their colleagues and peers—who were initially responsible for voting it into existence—value OA, and they can then ponder what it means for their own work.

There are also additional questions for academic libraries to consider if IOAPs gain a presence with RPT. As faculty awareness of IOAPs grows, there may be a corresponding increase in depositing their scholarship into the IR, necessitating greater involvement from the library, such as additional resources or staff to assist with things like checking publisher policies, obtaining permitted versions of articles, assigning metadata, etc. In their chapter "Open Access Policies: Basics and Impact on Content Recruitment," Wesolek and Royster (2016) make the point that IOAPs give the university library more work, but also more cachet, as they become a vital partner in facilitating the IOAP through the deposit of faculty research and scholarship

into the IR. In this way, "[IOAPs] can be implanted in ways that streamline the deposit of content into an [IR]" (p. 59). More deposits mean growth and expansion of IRs, and it is important for libraries to contemplate what this entails for their operations. Above all, Wesolek and Royster advocate for libraries to "make repositories attractive, easy, and rewarding to use" (p. 63), regardless of whether there is an IOAP in place at the institution. (In fact, they caution against IOAPs that mandate deposit, on the premise that forcible compliance can backfire and alienate faculty.)

Until these questions receive more discussion and empirical research, many issues surrounding IOAPs and RPT will remain nebulous, and the two are likely to remain separate despite their potential symbiosis. This separation is especially detrimental to IOAPs, as they can languish from faculty's unawareness, inattention, or competing priorities. However, if or when more institutions connect their IOAP with RPT, there will be more opportunities for research into the nature of the connection and what approach is most effective. One of the most interesting and exciting developments will be to examine how participation with IOAPs changes, if at all, upon integration with RPT.

CONCLUSION

Presently, in the North American context, RPT rarely articulates the importance of OA in regard to the public good, and even less does it recognize or reward participation with an IOAP. Although it is difficult to pinpoint the exact nature of OA publishing and deposit behavior among faculty in the United States, Blankstein (2022) concludes that only 30 percent deposit their peer-reviewed scholarly articles into their IR, whereas a study by Tillman (2017) shows that faculty engagement with IRs is low—even when there is an IOAP in place—except in rare cases in which libraries and other academic departments deliberately partner to connect IR harvesting efforts with internal RPT processes. "This model," Tillman writes, "appeared promising because it aligned with work the faculty were already doing for a goal in which the faculty saw real value—obtaining tenure or promotion" (p. 16). In other words, if OA is valued by an institution, it should be incentivized in order for it to have an impact.

Until there is more examination of the connection between IOAPs and RPT, there will continue to be a lack of information and recommended best practices. If more schools do connect the two, and share their experiences, there will be more examples of how, specifically, the two can work in tandem. Soper (2017) provides a good example, but the literature needs many more like it in order to build greater understanding and establish evidence-based recommendations.

Likewise, greater reporting and tracking can provide a clearer picture of the IOAP-RPT landscape and how it may be changing over time. For example, COAPI could ask its full members

to report, on an annual basis, whether their IOAP is mentioned or integrated in any way with other academic policies, and/or whether there are any discussions about this topic taking place on their campus. Doing so would not only generate more information about current practices but could also help prompt discussions at institutions that have yet to start asking these questions.

Finally, faculty at institutions that have yet to pass an IOAP may want to consider, from the outset, how such a policy should influence or interact with RPT. It is perhaps easier to connect the two at the initial time when the IOAP is first set in place, when the momentum and discussion around the IOAP is at its peak, rather than attempt to do so at a later time, when it has faded into the background. Again, more research (especially case studies) is needed in order to understand how timing may affect the success of IOAP-RPT coordination.

Academic traditions are notoriously slow and difficult to change, and attempting to weave recent phenomena such as IOAPs into the established RPT system is a tall order. Yet, as Xia et al. (2012) point out, "Policy compliance will approach full participation only if the entire scholarly communication system is adjusted" (p. 86). There is much work to do, and the conversation is just beginning, but it is one worth having if our academic institutions value OA as they say that they do.

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APPENDIX: SURVEY INSTRUMENT

OPEN ACCESS (OA) POLICIES AND REVIEW, PROMOTION, AND TENURE (RPT) AT COAPI MEMBER INSTITUTIONS

Start of Block: Introduction and Terms

Q1 Hello,

My name is Amanda Y. Makula. I am a faculty member at Copley Library at the University of San Diego, San Diego, CA. I am conducting a research study about the relationship between Open Access (OA) Policies and Review, Promotion, and Tenure (RPT) processes and policies at Coalition of Open Access Policy Institutions (COAPI).

The purpose of this study is to discover whether institutional OA Policies generally stand alone or intersect with Review, Promotion, and Tenure (RPT) processes and policies. You are invited to participate because you are listed as the contact person for your institution on the COAPI membership page at https://coapi.sparcopen.org/members.

If you decide to participate, you will be asked to complete an online survey once that takes about 15 minutes to complete. It will ask things like: "Does your institution have an Open Access (OA) Policy? " and "Is the term/concept of open access and/or the OA Policy mentioned or incorporated into any Review, Promotion, and Tenure (RPT) processes or policies in use at your institution?"

You will also be asked about the institution where you work, such as the Carnegie classification of your institution.

This study involves no more risk than the risks you encounter in daily life. Your responses will be confidential and all your information will be coded with a number. Your email or IP address will be deleted, and nobody will know your identity. I will keep the study data for a minimum of 5 years. You will receive no compensation for your participation in the study.

Taking part in this study is optional. Choosing not to participate will have no effect on your employment status, grades, or any other benefits to which you are entitled. You may also quit being in the study at any time or decide not to answer any specific questions. Should you decide to participate, please print out a copy of this page for your record.

I will be happy to answer any questions you have about the study. You may contact me at amakula@sandiego.edu.

Thank you for your consideration.

Amanda Y. Makula

I consent to participate in this survey.

- ○ Yes

End of Block: Introduction and Terms

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Start of Block: Demographics

Q2 What is the Carnegie Classification of your institution?

- ○ Doctoral University
- ○ Doctoral/Professional University
- ○ Master's College or University
- ○ Baccalaureate College
- ○ Baccalaureate/Associate's College
- ○ Associate's College
- ○ Special Focus Two-Year
- ○ Special Focus Four-Year
- ○ Tribal College

End of Block: Demographics

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Start of Block: Open Access Policies

Q3 Does your institution have an Open Access (OA) Policy?

- ○ yes: we have an institutional-wide OA Policy
- ○ yes: one or more of the schools/colleges/units within our institution has their own OA Policy, but we do not have an institutional-wide OA Policy
- ○ no
- ○ I don't know

Display This Question:
If Does your institution have an Open Access (OA) Policy? = yes: we have an institutional-wide OA Policy
Or Does your institution have an Open Access (OA) Policy? = yes: one or more of the schools/colleges/units within our institution has their own OA Policy, but we do not have an institutional-wide OA Policy

Q4 For how long has the OA Policy been in effect?

- ○ 0–1 years
- ○ 2–3 years
- ○ 4–5 years
- ○ 6–7 years
- ○ 8–9 years
- ○ 10+ years
- ○ I don't know

Display This Question:
If Does your institution have an Open Access (OA) Policy? = yes: we have an institutional-wide OA Policy
Or Does your institution have an Open Access (OA) Policy? = yes: one or more of the schools/colleges/units within our institution has their own OA Policy, but we do not have an institutional-wide OA Policy

Q5 To whom does the OA Policy apply? (Select all that apply)

- ☐ Faculty
- ☐ Staff
- ☐ Students
- ☐ Other

> *Display This Question:*
> *If Does your institution have an Open Access (OA) Policy? = yes: we have an institutional-wide OA Policy*

Q6 What percentage of potential depositors participates in the OA policy?

- ○ 0–10 percent
- ○ 11–25 percent
- ○ 26–50 percent
- ○ 51–75 percent
- ○ 76–100 percent
- ○ I don't know

> *Display This Question:*
> *If Does your institution have an Open Access (OA) Policy? = yes: we have an institutional-wide OA Policy*
> *Or Does your institution have an Open Access (OA) Policy? = yes: one or more of the schools/colleges/units within our institution has their own OA Policy, but we do not have an institutional-wide OA Policy*

Q7 14. What is the rate of article deposit (the number of articles deposited/total number of articles published) in the institutional repository at your institution?

- ○ 0–10%
- ○ 11–25%
- ○ 26–50%
- ○ 51–75%
- ○ 76–100%
- ○ I don't know

End of Block: Open Access Policies

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Start of Block: Review, Promotion, and Tenure

> **Display This Question:**
>   **If Does your institution have an Open Access (OA) Policy? = no**

Q8 Is the term/concept of **open access** mentioned or incorporated into any Review, Promotion, and Tenure (RPT) processes or policies in use at your institution?

- ○ Yes
- ○ No
- ○ I don't know

> **Display This Question:**
>   **If Is the term/concept of open access mentioned or incorporated into any Review, Promotion, and Tenu… = Yes**

Q9 Please describe how **open access** is represented in Review, Promotion, and Tenure (RPT) processes or policies in use at your institution. If possible, provide the verbiage that is used.

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> **Display This Question:**
>   **If Does your institution have an Open Access (OA) Policy? = yes: we have an institutional-wide OA Policy**
>   **Or Does your institution have an Open Access (OA) Policy? = yes: one or more of the schools/colleges/units within our institution has their own OA Policy, but we do not have an institutional-wide OA Policy**

Q10 Is the term/concept of **open access** and/or the **OA Policy** mentioned or incorporated into any Review, Promotion, and Tenure (RPT) processes or policies in use at your institution? (Select all that apply)

☐ Yes; the term/concept of open access is mentioned or incorporated into RPT processes or documents

☐ Yes; the OA Policy specifically is mentioned or incorporated into RPT processes or documents

☐ No, neither

☐ I don't know

> **Display This Question:**
> If Is the term/concept of open access and/or the OA Policy mentioned or incorporated into any Review… = Yes; the term/concept of open access is mentioned or incorporated into RPT processes or documents

Q11 Please describe how **<u>open access</u>** is represented in Review, Promotion, and Tenure (RPT) processes or policies in use at your institution. If possible, provide the verbiage that is used.

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> **Display This Question:**
> If Is the term/concept of open access and/or the OA Policy mentioned or incorporated into any Review… = Yes; the OA Policy specifically is mentioned or incorporated into RPT processes or documents

Q12 Please describe how the **<u>OA Policy</u>** is represented in Review, Promotion, and Tenure (RPT) processes or policies in use at your institution. If possible, provide the verbiage that is used.

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Display This Question:

If Is the term/concept of open access and/or the OA Policy mentioned or incorporated into any Review… = Yes; the term/concept of open access is mentioned or incorporated into RPT processes or documents

Q13 If you would like to provide any additional information about how **open access** is represented in Review, Promotion, and Tenure (RPT) processes or policies in use at your institution, please do so here:

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Display This Question:

If Is the term/concept of open access and/or the OA Policy mentioned or incorporated into any Review… = Yes; the OA Policy specifically is mentioned or incorporated into RPT processes or documents

Q14 If you would like to provide any additional information about how the **OA Policy** is represented in Review, Promotion, and Tenure (RPT) processes or policies in use at your institution, please do so here:

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